AP13 Rec'd PCT/PTO 2 1 NOV 2006

PTO-1390 (Rev. 07-2005)

Approved for use through 03/31/2007. OMB 0651-0021

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL LETTER TO DESIGNATED/ELECTED	OFFICE (DO/EO/US)	ATTORNEY'S DOCKET NUMBER HUI-045CP2US U.S. APPLICATION NO. (if known, see 37 CFR 1.5)				
CONCERNING A SUBMISSION		10/578,402				
INTERNATIONAL APPLICATION NO. PCT/US2004/036641	INTERNATIONAL FILING DATE 3 November 2004	PRIORITY DATE CLAIMED  3 May 2001				
TITLE OF INVENTION						
APPLICANT(S) FOR DO/EO/US	AN IMMUNE RESPONSE E	BY MODULATING KRC ACTIVITY				
Laurie H. GLIMCHER et al.						
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:						
1. This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.						
2. X This is a SECOND or SUBSEQUE	NT submission of items concerning a s	ubmission under 35 U.S.C. 371.				
3. This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.						
4. The US has been elected (Article 3	4. The US has been elected (Article 31).					
5. A copy of the International Applicat	tion as filed (35 U.S.C. 371 (c)(2))					
a. is attached hereto (required on	ly if not communicated by the Internation	onal Bureau).				
b. has been communicated by the International Bureau.						
c. is not required, as the application was filed in the United States Receiving Office (RO/US).						
6. An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).						
a. is attached hereto.						
b. has been previously submitted under 35 U.S.C. 154(d)(4).						
7. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))						
a. are attached hereto (required only if not communicated by the International Bureau).						
b. have been communicated by the	b. have been communicated by the International Bureau.					
c. have not been made; however, the time limit for making such amendments has NOT expired.						
d. have not been made and will not be made.						
8. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).						
9. x An oath or declaration of the invent	tor(s) (35 U.S.C. 371(c)(4)).					
10. An English language translation of Article 36 (35 U.S.C. 371(c)(5)).	the annexes of the International Prelim	inary Examination Report under PCT				
Items 11 to 20 below concern docur	ment(s) or information included:					
11. An Information Disclosure Staten	nent under 37 CFR 1.97 and 1.98.					
12. An assignment document for recor	ding. A separate cover sheet in compli	ance with 37 CFR 3.28 and 3.31 is included.				
13. A preliminary amendment.						
14. An Application Data Sheet under	37 CFR 1.76.					
15. A substitute specification.						
16. A power of attorney and/or change	e of address letter.					
17. A computer-readable form of the s	sequence listing in accordance with Po	CT Rule 13ter.2 and 37 CFR 1.821 – 1.825.				
18. A second copy of the published In	ternational Application under 35 U.S.	C. 154(d)(4).				
19. A second copy of the English lang	guage translation of the international a	pplication under 35 U.S.C. 154(d)(4).				
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U.S. APPLICATIO	U.S. APPLICATION NO. (if known, see 37 CFR 1.5)  10/578,402 INTERNATIONAL APPLICATION NO.  PCT/US2004/036641		ATTORNEY'S DOCKET NUMBER HUI-045CP2US						
20. X Other items or information: Copy of Notification of Missing Requirements (2 pages) Response To Notification Of Missing Requirements (2 pages) Certificate of Express Mailing (1 page) Return Receipt Postcard									
The fol	owing fe	ees have	e been submit	ted			CALCULATION	ıs	PTO USEONLY
21. Basi	c nation	al fee (3	7 CFR 1.492(	a))		\$300	\$		
22. Examination fee (37 CFR 1.492(c))  If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)				\$					
23. Search fee (37 CFR 1.492(b))  If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)					\$				
			and 23 =				\$ 0.0	00	
Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)).  The fee is \$250 for each additional 50 sheets of paper or fraction thereof.									
Total Sheets	Extra S	heets		th additional 50 or fraction dup to a whole number)	1	RATE			
- 100 =	33	/50 =		1		x \$250.00	\$ 250.0	00	
Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).			\$						
CLAIMS	\$	NUN	MBER FILED	NUMBER EXTRA		RATE			
Total clair	ms		- 20 =		×				
Independent			- 3 =	1	×				
MULTIPLE DEP	ENDENT	CLAIM(S	) (if applicable)	•	+				
TOTAL OF ABOVE CALCULATIONS =				\$ 250.0	00				
X Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		SUBTOTAL =	\$ 125.0	00					
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$							
Giamos phony (	2010 (07 0				TO	AL NATIONAL FEE =	\$		
				1.21(h)). The assignment			\$		
by an appropriat	- cover si	1661 (37 C	лгк э.zo, э.эт). : 	\$40.00 per property		т .	\$		
LANDGRA 00000	016 120	080 10	0578402	тс	TAL	FEES ENCLOSED =	\$		125.00
125.00							Amount to be refunded:	\$	•
							Amount to be charged	\$	125.00

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PTO-1390 (Rev. 07-2005)

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a. A check in the amount of \$ to cover the abo	e de la contracta				
to dover the about	ove fees is enclosed.				
b. X Please charge my Deposit Account No. 12-0080 in the am A duplicate copy of this sheet is enclosed.	ount of \$125.00	_ to cover the above fees.			
c. X The Commissioner is hereby authorized to charge any additional fees Account No. 12-0080 . A duplicate copy of this sheet		dit any overpayment to Deposit			
d. Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not bee filed an granted to restore the International Application to pending state	n met, a petition to revive (3° us.	7 CFR 1.137(a) or (b)) must be			
	-111	1.			
SEND ALL CORRESPONDENCE TO:	SIGNATURE				
Giulio A. DeConti, Jr., Esq.	SIGNATURE				
LAHIVE & COCKFIELD, LLP	Mogan E	Williams			
One Post Office Square	Megan E.	VVIIIId1115			
Boston, Massachusetts 02109-2127					
(617) 227-7400	43.2	270			
CUSTOMER NUMBER: 00959	REGISTRATION NUM				
	•				
Dated: November 21, 2006					
Bated: November 21, 2000					
Express Mail: Airbill No. EV 956470336 US					
Express Mail. All bill No. EV 93047 0330 03					

05/03/2001



#### United States Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address: COMMISSIONER FOR PATENTS P.O. Box 1450 Alexandria, Virginia 22313-1450 www.uspto.gov

U.S. APPLICATION NUMBER NO. FIRST NAMED APPLICANT ATTY. DOCKET NO.

10/578,402 Laurie H. Glimcher HUI045CP2US

INTERNATIONAL APPLICATION NO.

PCT/US04/36641

I.A. FILING DATE PRIORITY DATE

00959 LAHIVE & COCKFIELD 28 STATE STREET BOSTON, MA 02109

NOV 25,2006 musing by.

CONFIRMATION NO. 3013
371 FORMALITIES LETTER

\*OC000000020564170\*

11/03/2004

Date Mailed: 09/25/2006

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 05/03/2006
- Copy of the International Search Report filed on 05/03/2006
- Preliminary Amendments filed on 05/03/2006
- Biochemical Sequence Diskette filed on 05/03/2006
- Biochemical Sequence Listing filed on 05/03/2006
- Small Entity Statement filed on 05/03/2006
- U.S. Basic National Fees filed on 05/03/2006
- Substitute Specification filed on 05/03/2006
- Priority Documents filed on 05/03/2006
- Specification filed on 05/03/2006
- Claims filed on 05/03/2006
- Abstracts filed on 05/03/2006
- Drawings filed on 05/03/2006

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

• Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

# SUMMARY OF FEES DUE:

Total additional fees required for this application is \$125 for a Small Entity:

SEP 2 9 2006

OP WETRIEVED LT 103

FORWARDED

The fee for submitting a specification and drawing containing more than 100 pages has not been paid in full. Applicant owes \$125 for 33 pages in excess of 150 pages for a small entity in compliance with 37 CFR 1.27.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

A copy of this notice **MUST** be returned with the response.

**VONDA M WALLACE** 

Telephone: (703) 308-9140 EXT 225

#### PART 1 - ATTORNEY/APPLICANT COPY

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U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/578,402	PCT/US04/36641	HUI045CP2US

FORM PCT/DO/EO/905 (371 Formalities Notice)

·· .

Docket No. HUI-045CP2US (PATENT)

Express Mail Label No. EV 956470336 US Dated: November 21, 2006

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Laurie H. Glimcher et al.

Application No. 10/578,402

Confirmation No. 3013

Filing Date of

International Application: November 3, 2004

For: METHODS FOR MODULATING AN

IMMUNE RESPONSE BY MODULATING

KRC ACTIVITY

Examiner: Not Yet Assigned

Art Unit: Not Yet Assigned

### RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE

MS PCT Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C. 371, mailed September 25, 2006, Applicants respectfully submit an executed combined Declaration, Petition and Power of Attorney, payment of the additional application size fee due, and a copy of the Notification of Missing Requirements.

Please charge our Deposit Account No. 12-0080 in the amount of \$125.00 covering the fee set forth in 37 CFR 1.27. The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper

hereafter filed in this application by this firm) to our Deposit Account No. 12-0080, under Order No. HUI-045CP2US.

Dated: November 21, 2006

Respectfully submitted,

Megan E. Williams

Registration No. 43,270

LAHIVE & COCKFIELD, LLP

One Post Office Square

Boston, Massachusetts 02109-2127

(617) 227-7400

(617) 742-4214 (Fax)

Attorney/Agent For Applicants

Application No. (if known): 10/578,402

Attorney Docket No.: HUI-045CP2US

### Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV 956470336 US in an envelope addressed to:

MS PCT Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

on November 21, 2006

Date

Signature

Megan E. Williams

Typed or printed name of person signing Certificate

43,270

Registration Number, if applicable

Telephone Number

Note:

Each paper must have its own certificate of mailing, or this certificate must identify

each submitted paper.

Transmittal Letter to the US Designated-Elected Office (3 pages)

Copy of Notification of Missing Requirements (2 pages)
Response To Notification Of Missing Requirements (1 page)
Executed combined Declaration and Power of Attorney (3 pages)

This Certificate of Express Mailing (1 page)

Return Receipt Postcard

Charge \$125.00 to deposit account 12-0080